

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Ferreri, Anthony C**

Regional Director, Region II (New York), Department of Health & Human Services

Date of Appointment: 05/29/2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Ferreri, Anthony C [electronically signed on 04/24/2018 by Ferreri, Anthony C in Integrity.gov]**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Olesh, Stanley, Certifying Official [electronically signed on 09/12/2018 by Olesh, Stanley in Integrity.gov]**

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Other review conducted by

**/s/ Lee, Steven, Ethics Official [electronically signed on 05/01/2018 by Lee, Steven in Integrity.gov]**

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U.S. Office of Government Ethics Certification

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Data Revised 09/12/2018

Data Revised 09/05/2018

Data Revised 09/04/2018

Data Revised 07/23/2018

Data Revised 07/20/2018

Data Revised 05/03/2018

Data Revised 05/02/2018

Data Revised 05/01/2018

Data Revised 04/30/2018

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/03/2018, Olesh, Stanley): 5/3 - OK'd draft EA -- SO
N/A	N/A	General	(09/04/2018, Olesh, Stanley): 7/20 - obtained compliance info - sold 8 items from EA divestiture list -- SO
N/A	N/A	General	(09/04/2018, Olesh, Stanley): 8/28/18 - rec'd documentation of divestiture of TractManager shares -- divestitures completed -- SO
1.	6	Richmond County Country Club - Staten Island, New York	(07/23/2018, Olesh, Stanley): Obtained approved 520 from supervisor -- SO

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Northwell Health	New Hyde Park, New York	Non-Profit	Executive Vice President & Chief Affiliation Officer/Regional Director	1/2015	2/2017
2	Office of Staten Island Borough	Staten Island, New York	City Government	Volunteer Senior Advisor	5/2017	5/2018
3	Carmel Richmond Nursing Home	Staten Island, New York	Non-Profit	Volunteer Board Member	5/2017	5/2018
4	TractManager	Chattanooga, Tennessee	Corporation	Board Member	2/2016	5/2018
5	Iron Hills Civic Association, Inc	Staten Island, New York	Neighborhood Association	Board Chairperson	1/2018	5/2018
6	Richmond County Country Club	Staten Island, New York	Association	Club President	4/2018	Present
7	Bloomfield Industries	Staten Island, New York	Corporation	Board Member	12/2015	1/2017

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Apple Inc.	N/A	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Oracle Corp		N/A	\$15,001 - \$50,000		\$201 - \$1,000
1.3	Sysco Corp		N/A	\$1,001 - \$15,000		\$201 - \$1,000
1.4	Fidelity Government Cash Reserves (FDRXX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
2	NSHS Parent and Shared Service 457(b)		No			
2.1	Vanguard FTSE All-World ex US Index 1		Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Vanguard Institutional Index Inst Pl		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	Vanguard Wellington Adm		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	50% Causeway/50%Dreyfus International Option	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	50% Diamond Hill/50% Dodge & Cox Large Value Opt.	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	50% Edgewood/50% Harbor Large Cap Growth Option	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.7	Lazard Emerging Markets Inst (LZEMX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.8	Morgan Stanley Inst Global Real Estate (MRLAX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
3	NSHS Parent and Shared Service 403(b)		No			
3.1	Metlife Fixed Interest Separate Account		No	\$500,001 - \$1,000,000		\$2,501 - \$5,000
3.2	50% Champlain/50% Diamond Hill Sm Cap Opt	See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	50% Diamond Hill/50% Dodge & Cox Large Cap Value Opt.	See Endnote	Yes	\$100,001 - \$250,000	None (or less than \$201)
3.4	50% Edgewood/Harbor Large Cap Growth Option	See Endnote	Yes	\$100,001 - \$250,000	\$5,001 - \$15,000
3.5	Vanguard Extended Market IDX Inst Plan (VEMPX)		Yes	\$50,001 - \$100,000	\$1,001 - \$2,500
3.6	Vanguard Institutional Index Inst PI (VIIIX)		Yes	\$100,001 - \$250,000	None (or less than \$201)
4	IRA #2		No		
4.1	Dreyfus Research Growth Fund-Class Z		Yes	\$1,001 - \$15,000	\$201 - \$1,000
4.2	The Dreyfus Fund DREVM		Yes	\$1,001 - \$15,000	\$1,001 - \$2,500
5	5 The Bank of New York Mellon Cust 403 B (7) Plan FBO FBO		No		
5.1	The Dreyfus Sustainable US Equity Fund-Class Z		Yes	\$15,001 - \$50,000	\$1,001 - \$2,500
6	Northwell Health		N/A	Salary/bonus	\$360,175
7	Northwell Health -- severance received 2/1/17 to 4/30/18		N/A	Severance	\$1,125,000
8	Northwell Health, anticipated severance		N/A	\$1,000,001 - \$5,000,000	None (or less than \$201)
9	IRA #3		No		
9.1	SA Wellington Capital Appr		Yes	\$1,001 - \$15,000	None (or less than \$201)
10	Bloomfield Industries		N/A	salary/buyout	\$21,475
11	TractManager Holdings LLC shares		N/A	\$15,001 - \$50,000	None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Northwell Health	New Hyde Park, New York	This is an individual severance agreement between Northwell Health and myself, upon my retirement from employment with Northwell Health. It is a typical practice by Northwell for high ranking executives upon their retirement. Payments commenced February 1, 2017. The arrangement also provides for health insurance coverage and partial payment for coverage during the severance period until I become eligible for my new employer's health insurance, at which time the Northwell coverage is dropped.	2/2017
2	NSHS Parent and Shared Service 403(b)	New Height Park, New York	I will continue to participate in my former employer's 403(b) plan. My former employer will no longer make contributions on my behalf.	8/2003
3	NSHS Parent and Shared Service 457(b)	New Height Park, New York	I will continue to participate in my former employer's 457(b) plan. My former employer will no longer make contributions on my behalf.	1/2006
4	Bloomfield Industries	Staten Island, New York	The company was sold in January 2017 and as a result of the buyout, I am receiving monthly payments of \$765.00 starting May 2017 and ending December 2018.	2/2017

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Northwell Health	New Hyde Park, New York	Executive Vice President. Receiving severance payments beginning 2/1/17 until balance paid.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	TractManager Holdings	Chattanooga, Tennessee	Member of the Board of Trustees. Payment represents attendance and participation at four board meetings per year, totaling \$24,000 annually. I am a individual limited Partner (Class B), with no share of profit, losses or capital. The entity is in the business of health care related services, in areas including consulting, contract management, data management, and purchasing.
3	Bloomfield industries, Inc.	Culver City, California	Member of the Board of Trustees a total of \$10,000 in 2017 for attendance at four board meetings during that year. The corporation was sold in 2017 and I receive as a result a monthly buyout of \$765 for a total of 15 months.

## 5. Spouse's Employment Assets & Income and Retirement Accounts

None

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage account #1	No			
1.1	Apple Inc.	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
1.2	Bank of America Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3	Becton Dickinson & Co	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.4	Fiserv, Inc.	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
1.5	Iron Mountain Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	Oracle Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.7	Phillips 66	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.8	Procter & Gamble	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.9	Sysco Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.10	Union Pacific Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.11	Wells Fargo & Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.12	Fidelity Government MMKT Capital Reserves CL	Yes	None (or less than \$1,001)		None (or less than \$201)
2	U.S. bank account #1 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
4	U.S. bank account #3 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
5	U.S. bank account #4 (cash)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6	U.S. brokerage account #2	No			
6.1	S&P 500 5 year -30% Buffer	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.2	Russell 2000 5 Year -30% Buffer	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	Northfield Bancorp, Inc (NBK).	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	John Hancock Whole Life Insurance	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9	Fidelity & Guarantee Life Insurance, whole life	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10	Jackson National Life Insurance Company of NY, variable life	No			
10.1	JNL/Fr Temp Global Multi Bond	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.2	JNL/DoubleLine TR	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.3	JNL/American GL Growth	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.4	JNL/MC 400 MC Index	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.5	JNL/JPMorgan Mid Cap Growth	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.6	JNL/MC Small Cap Index	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.7	JNL/PPM America MidCapVal	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.8	JNL/Invesco China-India	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11	NYS Dormitory Authority North Shore LIJ Obligated Group FRP REV-A	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000

## 7. Transactions

(N/A) - Not required for this type of report

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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## Endnotes

PART	#	ENDNOTE
2.	2.4	Proprietary fund consisting of Causeway International Value Fund (CIVVX) and Dreyfus International Stock I Fund (DISRX).
2.	2.5	Proprietary fund consisting of Diamond Hill Large Cap A Fund (DHLAX) and Dodge & Cox Stock Fund (DODGX).
2.	2.6	Proprietary fund consisting of Edgewood Institutional Growth Fund (EGFIX) and Harbor Capital Appreciation Institutional Fund (HACAX).
2.	3.2	Proprietary fund consisting of Champlain Small Company Adv. Fund (CIPSX) and Diamond Hill Small Cap A Fund (DHMAX).
2.	3.3	Proprietary fund consisting of Diamond Hill Large Cap A Fund (DHLAX) and Dodge & Cox Stock Fund (DODGX).
2.	3.4	Proprietary fund consisting of Edgewood Institutional Growth Fund (EGFIX) and Harbor Capital Appreciation Institutional Fund (HACAX).

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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